

Baldrige Award Application Forms

accomplishment



recognition





Baldridge National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

January 2002

Congratulations!

By supplementing your copy of the *2002 Criteria for Performance Excellence* with a copy of the *2002 Baldrige Award Application Forms*, you have taken the second step in using the Baldrige process to improve your organization's performance and growth. Now it is time to consider taking the next step—applying for the Award.

For a nominal application fee determined by the size and nature of your organization, your application will receive at least 300 hours of review by several experts selected for their depth and breadth of knowledge. Site-visited organizations receive over 1000 hours of in-depth review. Each applicant receives an extensive feedback report.

Because of the learning inherent in completing the application and in the feedback you will receive, the effort that goes into applying for the Award should result in a significant return on your investment. The process will help you prioritize opportunities for improvement and identify strengths to celebrate. As a result, the rate at which your organization improves should accelerate.

This year, to further increase your organizational learning, we are piloting a program that will provide a guaranteed slot for a representative employee of your organization to be a member of the 2002 Board of Examiners. If you are interested in taking advantage of this opportunity, you must apply for Eligibility on or before March 15, 2002. You may use the Microsoft Word® version of the Eligibility Application, which is available on-line at www.quality.nist.gov/Award_Application.

Every Baldrige Award recipient's journey toward performance excellence included using the application process as part of the organization's improvement and strategic planning process. Many of our recipients apply several times before receiving the Award, while others receive the Award on their first attempt. They *all* report that the process is worthwhile. The Baldrige process is designed to make every applicant a "winner" by raising their performance to a higher level. Consider making the decision to apply now and accelerate the rate of your organization's performance improvement. As thousands of organizations can attest, your organization will be better for it!

Sincerely yours,

Harry Hertz, Director
Baldrige National Quality Program

The Malcolm Baldrige National Quality Award

The Award, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC. Awards are made annually to recognize U.S. organizations for performance excellence. The Award eligibility categories include

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

The Eligibility Self-Certification Process

In 2001, the process used to determine applicants' eligibility to participate in the Award process was changed to enable applicants to "self-certify." The role of the Malcolm Baldrige National Quality Program (MBNQP) Office in the revised eligibility self-certification process is to assist with and offer advice on any questions or issues that applicants may have concerning the process itself or the completion of the required forms enclosed in this booklet. There are no changes to the eligibility requirements for the 2002 Award cycle. Once the completed, self-certified eligibility application is submitted, applicants may begin work on the Award application document. Notification of eligibility by the Program Office is no longer required.

The Program Office relies on the information contained in the self-certification process forms that are submitted. If at any time during the Award Cycle the information is found to be inaccurate, the Program may deem the applicant ineligible for the Award. Should this occur, the applicant would be eligible for a feedback report only.



Crystal by Steuben

New Opportunity to Increase Organizational Learning Using the Baldrige Criteria

This year MBNQP is providing eligibility applicants a "hands-on" opportunity to increase their organization's understanding and use of the Baldrige Criteria. In a pilot program being launched in 2002, one member of each applicant organization is invited to become a member of the 2002 Board of Examiners. To take advantage of this opportunity, self-certified eligibility applications must be postmarked on or before March 15, 2002. Eligibility application forms are available on-line at www.quality.nist.gov/Award_Application.

Contents

1	The Malcolm Baldrige National Quality Award and Award Process
3	2002 Baldrige Award Program Processes and Time Frames
4	Fees for the 2002 Award Cycle
5	2002 Eligibility Certification Overview
5	Purpose
5	Objective
5	Submission Requirements
5	Eligibility Certification
5	Eligibility Categories
6	Restrictions on Eligibility
7	Other Requirements
8	2002 Eligibility Certification Form—Instructions
10	2002 Eligibility Certification Form
15	2002 Additional Information Needed Form—Instructions
16	2002 Additional Information Needed Form
18	2002 Eligibility Certification Package Checklist
19	North American Industry Classification System (NAICS) Codes
20	2002 Award Application Package Instructions
20	Purpose
20	Objective
20	Content Requirements
21	Format Requirements
21	Assembly Requirements
22	Submission Requirements
22	Description of Application Report Parts
23	2002 Application Form—Instructions
24	2002 Application Form
25	How to Order Copies of Baldrige Program Materials

The Malcolm Baldrige National Quality Award logo and the phrases “Quest for Excellence” and “Performance Excellence” are trademarks and service marks of the National Institute of Standards and Technology.

The Malcolm Baldrige National Quality Award and Award Process

What is the purpose of this booklet?

The purpose of this booklet is to provide eligibility certification and application instructions and forms to organizations interested in applying for the Malcolm Baldrige National Quality Award.

What is the Malcolm Baldrige National Quality Award?

The Malcolm Baldrige National Quality Award, created by public law in 1987, is the highest level of national recognition for performance excellence that a U.S. organization can receive.

The major focus of the Award is on results, including customer satisfaction. It is *not* given for specific products or services. To be selected as an Award recipient, an organization must have a system that ensures continuous improvement in the delivery of products and/or services and provides a way of satisfying and responding to stakeholders.

Up to three Awards may be given annually in each of five eligibility categories: manufacturing businesses, service businesses, small businesses, education organizations, and health care organizations.

Why was the Award established?

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does it recognize excellent organizations, the Award also aims to increase the understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from implementation of these strategies.

Who may participate?

Organizations that may apply include privately and publicly owned for-profit businesses headquartered in the United States and its territories; for-profit and not-for-profit public, private, and government education organizations that provide educational services to students in the United States and its territories; and for-profit and not-for-profit public, private, and government health care organizations that are located in the United States and its territories and are primarily engaged in providing medical, surgical, or other health services directly to persons. Subunits of organizations may apply if they meet certain requirements.

Who is involved with the Award process?

National Institute of Standards and Technology (NIST): The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. NIST, an agency of the Department's Technology Administration, manages the Baldrige Program.

American Society for Quality (ASQ): ASQ assists in administering the Award Program under contract to NIST.

Board of Examiners: The Board of Examiners evaluates Award applications and prepares feedback reports for the applicants. The board consists of leading U.S. business, health care, and education experts.

Panel of Judges: This panel, part of the Board of Examiners, selects Award applicants to undergo site visits and recommends Award recipients. Judges are appointed by the Secretary of Commerce from all sectors of the U.S. economy.

Board of Overseers: This board is appointed by the Secretary of Commerce and is the advisory organization on the Baldrige National Quality Program to the Department of Commerce. The board consists of distinguished leaders from all sectors of the U.S. economy.

The Foundation for the Malcolm Baldrige National Quality Award: The Foundation raises funds to permanently endow the Award Program and manages the endowment.

Some of the seven Baldrige Categories have different names in the Business, Education, and Health Care Criteria. How do the Education and Health Care Criteria Categories differ from the Business Categories?

There is a very close alignment among all three Criteria and their related Categories. Three of the Categories—Category 1: Leadership; Category 2: Strategic Planning; and Category 4: Information and Analysis—have the same title in all three Criteria. The other four Categories have different titles that reflect differences in terminology among the three sectors. For example, in the Business Criteria, Category 3 is called “Customer and Market Focus.” That same Category is called “Student and Stakeholder Focus” in the Education Criteria and “Focus on Patients, Other Customers, and Markets” in the Health Care Criteria.

What is the basis for the Criteria?

Criteria are developed from the state-of-the-art learning of private and public sector organizations that are working to achieve organizational performance excellence. The Criteria reflect validated, leading-edge practices for achieving performance excellence.

How do applicants benefit from applying for the Award?

Each applicant gains an outside perspective on its organization based on 400 to 1,200 hours of review by members of the Board of Examiners. The results of this review are synthesized in a feedback report outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

How are Award recipients selected?

Award applications are reviewed by a team from the Board of Examiners. The higher-scoring applicants receive site visits. The Panel of Judges recommends Award recipients from among the site-visited organizations. The Secretary of Commerce then makes the final selection of Award recipients.

What does an organization receive if it is an Award recipient?

Each Award recipient receives a crystal trophy bearing a gold-plated medallion with the inscriptions “Malcolm Baldrige National Quality Award” and “The Quest for Excellence.” The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC. Award recipients may publicize and advertise their Awards.

Is the identity of applicants and the information submitted made available to the public?

The identity of all applicants remains confidential unless the applicant is selected as an Award recipient. Information submitted by applicants also is treated as confidential.

What is expected of Award recipients?

Award recipients are required to share information about their exceptional performance practices with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanisms for sharing information are the annual Quest for Excellence Conference, highlighted on the inside back cover of this

document, and several one-day regional conferences. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

How do organizations apply?

Applying for the Award is a two-step process. The first step is eligibility certification, when the organization certifies that it meets eligibility requirements. Instructions and forms for certifying eligibility begin on page 8.

Once eligibility has been certified, the second step consists of preparing and completing an application form and an application package. The application report must summarize the organization's practices and results in response to the requirements delineated in the Items of the Criteria for Performance Excellence. Instructions and forms for applying for the Award begin on page 20.

If you plan to apply for the Award in 2002, you also will need the appropriate *2002 Criteria for Performance Excellence* (Business, Education, or Health Care) for your particular organization. Ordering information is given on page 25.

**Eligibility Certification Package
due April 16, 2002**

**Award Application Package
due May 30, 2002**

2002 Baldrige Award Program Processes and Time Frames

Eligibility Certification

(Package postmarked to ASQ by **April 16, 2002**)

Prepare and submit the Eligibility Certification Package postmarked no later than **April 16, 2002**, to certify eligibility in one of five Award categories: manufacturing, service, small business, education, or health care. Remember to submit the nonrefundable Eligibility Certification Fee along with the Eligibility Certification Package. (See box on page 4.)

Note: In the event of multiple submissions from one parent organization, while all may be found eligible, the number of applicants for the Award will be determined by Rule VI.C., found on page 7.

Award Application

(Package postmarked to ASQ by **May 30, 2002**)

Prepare and submit 25 copies of the application report with the application fee(s) postmarked no later than **May 30, 2002**. The application fee, which must be included as part of the Award Application Package, covers expenses associated with the review of applications and the development of feedback reports. Fees are detailed on page 4. If an organization reaches the site visit review stage, the applicant is expected to submit updates for all results provided in the application. This will become part of the official application.

Stage 1: Independent Review

(June–August 2002)

The application package is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the Panel of Judges determines which applications advance to Stage 2: Consensus Review. At each stage, applicants receive every reasonable consideration to advance to the next stage.

Stage 2: Consensus Review

(August–September 2002)

The application package is reviewed jointly by a team of Examiners, led by a Senior Examiner. At the conclusion of this review, the Panel of Judges determines which applicants will receive site visits.

Stage 3: Site Visit Review

(October–November 2002)

A team of six to eight members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the application package. Site visits consist primarily of a review of pertinent records and data and interviews with executives and employees. No site visits are conducted outside of the United States or its territories. Following the site visit, the site visit team submits its report to the Panel of Judges.

If an organization is chosen for a site visit, the organization is responsible for paying a site visit fee, which helps to cover expenses associated with the site visit. Additional information on site visit fees is given on page 4. Additionally, the organization is expected to provide updates for its results provided in the application.

Judges Review

(November 2002)

The Panel of Judges conducts final reviews and presents Award recipient recommendations to the Director of NIST, who conveys the recommendations to the Secretary of Commerce. The Secretary of Commerce makes the final determination of Award recipients.

Role Model Determination: The Secretary of Commerce and the Director of NIST are responsible for determining that recommended Award recipients are appropriate role models and, therefore, should be approved for the Malcolm Baldrige National Quality Award. The purpose of this determination is to help ensure that the Award's integrity is preserved.

In determining role models, NIST conducts record checks on site-visited applicants to ensure compliance with legal and regulatory requirements. The records checked include those of the Internal Revenue Service, the Federal Bureau of Investigation, the Bureau of Export Administration, the General Services Administration, and local police and judicial offices in the applicant's headquarters jurisdiction. No new or independent investigations are conducted.

Feedback Reports

(September 2002–December 2002)

Each applicant, including Award recipients, receives a feedback report. Feedback reports are prepared and distributed after it is determined either that the applicant will not move to the next stage of consideration for the Award or that the applicant is an Award recipient. Feedback reports are prepared by members of the Board of Examiners based on applicants' responses to the Criteria for Performance Excellence. The feedback reports contain applicant-specific descriptions of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

Award Ceremony

(Winter 2003)

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

Fees for the 2002 Award Cycle

Eligibility Certification Fee

For the 2002 Award Cycle, a nonrefundable fee of \$150 must be submitted to ASQ along with the Eligibility Certification Package postmarked no later than April 16, 2002.

Application Fee

The chart below shows the application fees for 2002. For the 2002 Award cycle, the appropriate fee(s) must be submitted to ASQ with the Award Application Package postmarked no later than May 30, 2002.

	MANUFACTURING	SERVICE	SMALL BUSINESS	EDUCATION			HEALTH CARE	
	ALL	ALL	ALL	>500 EMPLOYEES & FOR-PROFIT	<500 EMPLOYEES & FOR-PROFIT	NOT-FOR- PROFIT	>500 EMPLOYEES	<500 EMPLOYEES
2002	\$5000	\$5000	\$2000	\$5000	\$2000	\$500	\$5000	\$2000
SUPPL. SECTION FEES *	\$2000	\$2000	\$1000	\$2000	\$1000	\$250	\$2000	\$1000

Site Visit Review Fee

This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit. Site visit fees usually range between \$20,000 and \$35,000. The fee is due to ASQ two weeks after completion of the site visit.

The site visit fee for small businesses, for-profit education organizations with fewer than 500 employees, and health care organizations with fewer than 500 employees is one-half the rate required of applicants with more than 500 employees in the manufacturing, service, for-profit education, and health care sectors. In 2002, the site visit fee for not-for-profit educational organizations is \$1500.

* For a description of a Supplemental Section, see page 20.

2002 Eligibility Certification Overview

I. Purpose

The purpose of this section is to provide applicants with information for preparing the Eligibility Certification Package, which is the first step in applying for the Malcolm Baldrige National Quality Award. This information describes the considerations that are used to certify eligibility and explains how to complete the Eligibility Certification Form.

II. Objective

The objective of the Eligibility Certification Package, which includes the Eligibility Certification Form and the Additional Information Needed Form, is to provide sufficient information to certify whether the organization is eligible to apply for the Award. In addition, the package presents a useful profile of the organization and often is the first information about the applicant read by Examiners. The information also is used to avoid conflicts of interest when assigning applications to Examiners and to provide the most effective evaluation possible.

III. Submission Requirements

A. Eligibility Certification Package

1. The Eligibility Certification Form must be filled out completely and signed by the Highest-Ranking Official of the organization. All information provided is considered confidential.
2. The applicant must attach a line and box organization chart to the form. Each box within the chart should include the name of the head of the unit or division it describes.
3. If the applying organization is a subunit of a larger organization, attach line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent organization, *including all intervening and/or subunit levels*. Include the names of intervening and/or subunit levels and their leaders. This information is used to identify multiple applications from one parent.
4. The Additional Information Needed Form must accompany the Eligibility Certification Form. All information provided is considered confidential.

B. Letter of Transmittal

A transmittal letter on the applicant's stationery signed by the applicant's Highest-Ranking Official must accompany the Eligibility Certification Package. The letter needs to state only that the organization is submitting its eligibility forms.

C. Fee

A check or money order for the \$150 nonrefundable fee must be attached to the Eligibility Certification Package. The fee must be payable to "The Malcolm Baldrige National Quality Award."

D. Submission

Potential applicants for the 2002 Award are encouraged to submit the Eligibility Certification Package to ASQ as early as possible. **The package must be postmarked no later than April 16, 2002.**

IV. Eligibility Certification

The Eligibility Certification Package will be reviewed promptly. If clarification is required, the designated Eligibility Contact Point or alternate will be contacted.

V. Eligibility Categories

Public Law 100-107 established the three business eligibility categories of the Award: manufacturing, service, and small business. On October 30, 1998, President Clinton signed legislation expanding the eligibility categories to include education and health care organizations. Eligibility for the Award is intended to be as open as possible.

A. Business

Any for-profit business headquartered in the United States or its territories, including U.S. subunits of foreign companies, may apply for the Award. For-profit businesses include publicly or privately owned, domestic or foreign-owned companies, joint ventures, corporations, sole proprietorships, partnerships, and holding companies.

Note: Local, state, and federal government agencies; not-for-profit organizations; trade associations; and professional societies are not eligible for the business categories.

The three business categories are defined as follows:

1. Manufacturing

- Organizations and some subunits (See VI. Restrictions on Eligibility, Part B on page 6.) that produce and sell manufactured products or manufacturing processes.
- Companies that produce agricultural, mining, or construction products. (See NAICS codes on page 19.)

2. Service

- Organizations and some subunits that provide or sell services.

Note: Where an applicant is both a manufacturer and a service provider, the larger percentage of sales will determine the appropriate eligibility category.

3. Small Business

- Organizations with 500 employees or fewer that are engaged in manufacturing and/or the provision of services.

B. Education

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—that provide education services to students in the United States and its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools.

Departments within schools or colleges are ineligible.

Note: For-profit education organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the education category, using the Education Criteria.

C. Health Care

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—located in the United States and its territories. These organizations must be engaged primarily in providing medical, surgical, or other health services directly to people. Eligibility is intended to be as open as possible. For example, eligible organizations include hospitals, health maintenance organizations, long-term care facilities, health care practitioner offices, home health agencies, and dialysis and ambulatory surgery centers.

Organizations that do not directly provide health services to people, such as social service agencies, health insurance companies, or medical/dental laboratories, are ineligible under this category. However, such organizations—if they are for-profit—might be eligible under the service or small business categories.

Note: For-profit health care organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the health care category, using the Health Care Criteria.

When an applicant is both an education organization and a provider of health care services to people, the larger percentage of its budget will determine the appropriate eligibility category.

VI. Restrictions on Eligibility

The following restrictions and conditions ensure fairness and consistency:

A. Conditions

1. The applicant must have been in existence prior to April 16, 2001.
2. All subordinate elements of the applicant's organization must be included in the application.
3. An applicant is eligible only if the operational practices associated with all of its major organizational functions are examinable in the United States or its territories. If an applicant has some activities performed outside its immediate organization (e.g., by overseas components, a parent organization, or other subunits), it must ensure that
 - in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
 - in the event the applicant receives the Award, the applicant will be able to share information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

B. Subunits

For purposes of the 2002 Award Application, a subunit means a unit or division of a larger organization. The larger organization that owns or has organizational or financial control of a subunit will be referred to as the “parent.” A parent refers to the highest level of an organization that would be eligible to apply for the Award.

1. A subunit must be self-sufficient enough to be examined in all seven Criteria Categories.
2. A subunit must have a clear definition of “organization” as reflected in organization literature, such as organization charts, administrative manuals, and annual reports; be

recognizable as a discrete entity; and be easily distinguishable from the parent or other subunits of the parent.

3. The subunit must function as a business or operational entity, not as a collection of activities aggregated for the purposes of writing an Award application.
4. Subunits performing solely support functions are ineligible.

Examples of business support functions are sales, marketing, distribution, finance and accounting, human resources, environmental, health and safety of employees, purchasing, legal services, and research and development.

Examples of education support functions are academic resource and development centers, student advising units, counseling units, food services, health services, housing, libraries, safety, information technology resources, environmental services, finance and accounting, human resources, public relations, and purchasing.

Examples of health care support functions are housekeeping, radiology, member services, finance and accounting, billing, human resources, purchasing, legal services, and research and development.

5. **Business only.** In the business eligibility categories, a subunit is ineligible if less than 50 percent of its products or services are sold or provided to customers/users outside the applicant's organization, its parent organization, and other organizations that own or have financial or organizational control of the applicant or parent.
6. In the business eligibility categories, a subunit must satisfy at least one of the following conditions:
 - It must have more than 500 employees; OR
 - it must have at least 25 percent of all employees in the worldwide operations of the parent; OR
 - it must have been independent prior to being acquired by the parent and continue to operate independently under its own identity.

C. Multiple-Application Restrictions

1. A subunit and its parent may not apply for Awards in the same year.
2. All subunits may submit Eligibility Certification Packages. In some cases, more than one subunit of a parent may apply for the Award. If the

employee size of the parent, including all of its subunits, is:

- 0-1000 parent employees, 1 applicant per parent per category may submit an Award Application Package;
- 1001-20,000 parent employees, 2 applicants per parent per category may submit an Award Application Package;
- over 20,000 parent employees, 2 applicants per parent per category for the first 20,000, plus 1 per 20,000 or fraction thereof above 20,000 per parent per category may submit an Award Application Package.

3. In the event of multiple submissions for the Award from subunits of the same parent beyond the limits noted in VI.C.2., the parent organization will be given the option of deciding which subunit(s) will represent it in the Award process. Alternatively, if the parent organization does not choose representative subunits, the applications with the earliest postmarks will be designated the applicants for the Award.

D. Restrictions on Award Recipients

If an organization or a subunit that has more than 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to reapply "for feedback only."

VII. Other Requirements

A. Site Visit Requirements

If some activities are performed outside the applicant's organization (for example, by an overseas component of the applicant, the parent organization, or its other subunits), the applicant, if selected for a site visit, must make available in the United States sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its worldwide operations.

B. Award Recipient Information Sharing Requirement

In the event that the applicant receives the Award, the applicant must be able to share nonproprietary information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

2002 Eligibility Certification Form—Instructions

1. Applicant

Provide the applicant's official name, which will be used to make the role model determination. (See page 4.)

Also, provide any other names by which the applicant may be known publicly and its previous name if there has been a name change within the last five years.

Provide the address of the applicant's headquarters.

2. Highest-Ranking Official

Provide the necessary contact information requested for the applicant's Highest-Ranking Official.

3. Eligibility Contact Point

After the receipt of the 2002 Eligibility Certification Form and associated materials, it may be necessary to contact the applicant for additional information. Please designate a person who is knowledgeable about the organization and its structure and who will be available to answer inquiries during the month following submission of the Eligibility Certification Form.

4. Alternate Eligibility Contact Point

In the event that the Eligibility Contact Point is not available, an Alternate Eligibility Contact Point will be needed to answer questions or convey a message to the Eligibility Contact Point. Designate a person who is available during the month following submission of the Eligibility Certification Form.

5. Applicant Status

Indicate whether or not the applicant has existed for at least one year, or prior to April 16, 2001.

6. Award Category and For-Profit/Not-For-Profit Designation

Based on the information given on pages 5 through 6 of this booklet, indicate which of the five Award categories is appropriate and which of the three Criteria (Business, Education, or Health Care) will be used to prepare the application. Also indicate whether the applicant is a for-profit or not-for-profit organization.

7. Industrial Classification

Using the three- or four-digit North American Industry Classification System (NAICS) codes listed on page 19, provide up to three codes that best describe the applicant's products and/or services.

8. Size and Location of Applicant

- Total number of employees as of April 16, 2002.
- Check the appropriate financial descriptor (sales, revenues, or budgets) and the appropriate range for the preceding fiscal year.
- Indicate the number of applicant sites. Offices or other work areas located near each other need not be counted as separate sites if they are considered one location for business and personnel purposes.
- State the approximate percentage (to the nearest whole number) of the applicant's employees who are located in the United States or its territories.
- State the approximate percentage (to the nearest whole number) of the applicant's physical assets located in the United States or its territories.
- Check the appropriate response.
- Check the appropriate response.
- Attach a line and box organization chart for the applying organization. Include the name of the head of the unit or division in each box.

9. Subunits

If the applicant is a subunit of a larger organization, then responses to 9a through 9j are required; otherwise, go to question 10.

- Check the appropriate response.
- Provide the name and address of the parent and the name and title of the Highest-Ranking Official of the highest ownership level of the parent organization. Provide the number of worldwide employees of the parent, including all subunits. Do not include joint ventures.
- Check the appropriate response. If two or more subunits from the parent are planning to apply for the Award, provide a brief explanation.
- Provide the title of an official document, such as an annual report or the appropriate page(s) from an organization publication, that shows the organization of the parent and its relationship to the applying unit.

2002 Eligibility Certification Form—Instructions

9. Subunits – continued

- e. Briefly describe the applying unit's organizational structure and management links to the parent.

Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels.

- f. Check the appropriate responses. If neither of the boxes is checked "Yes," provide a brief description of how the market and product(s) or service(s) are similar. Also indicate the organizational relationships of all units that provide similar or identical products or services. Indicate the approximate sales, revenues, or budgets for each. In response to the last part of questions "f," describe how the applicant is different from its parent and the other subunits of the organization.
- g. Check the appropriate response. If the answer is "No," briefly describe these customers and their relationships to the applicant.
- h. Check the appropriate response. If the answer(s) is "No," briefly describe these users and their relationships to the applicant.
- i. **Business only.** Check each appropriate response. If all three answers are "No," contact the Program Office.
- j. **Business only.** Briefly describe the major support functions provided to the applicant by the parent or by other subunits of the parent. Examples of such support functions include but are not limited to human resources, legal, financial or accounting, education/training programs, information systems and technology services, curriculum and instruction, and academic program coordination/development.

10. Supplemental Sections

Check the appropriate response. If the second option is selected, the Eligibility Contact Point may be contacted. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections (see page 13) in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.

11. Summary List of Questions

Ensure that the questions listed have been answered "Yes" or that the applicable response has been checked. Answering any of the questions "No" or leaving a response blank means that the applicant is not eligible for the 2002 Malcolm Baldrige National Quality Award.

12. Self-Certification Statement, Signature of Highest-Ranking Official

Provide the signature of the applicant's Highest-Ranking Official. This signature acknowledges that the answers provided are accurate and also certifies that the applicant is eligible based on the Requirements for the 2002 Malcolm Baldrige National Quality Award.

- a. If the applicant answers any questions "No," the applicant should call the Program Office before submitting the Eligibility Certification Package.
- b. If the applicant's organization is selected for a site visit and an Examiner discovers that one or more of the responses in the application is inaccurate, the applicant will no longer be eligible for the Award. The applicant will be eligible for feedback on its organization, however.

Malcolm Baldrige National Quality Award**1. Applicant**

Official Name _____

Headquarters Address _____

Other Name _____

Prior Name _____

2. Highest-Ranking Official☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Address _____

Title _____

Applicant Name _____

Telephone No. _____

Fax No. _____

E-mail _____

3. Eligibility Contact Point☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Address _____

Title _____

Applicant Name _____

Overnight Mailing Address (Do not use a P.O. Box number.) _____

Telephone No. _____

Fax No. _____

E-mail _____

4. Alternate Eligibility Contact Point☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Telephone No. _____

Fax No. _____

5. Applicant Status *(Check one.)*Has the applicant officially or legally existed for at least one year, or prior to April 16, 2001? ☐ Yes ☐ No**OMB Clearance #0693-0006—Expiration Date: October 31, 2002***This form may be copied and attached to, or bound with, other application materials.*

If you are unable to answer any questions or answer any questions "No,"
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.

Malcolm Baldrige National Quality Award**6. Award Category and For-Profit/Not-For-Profit Designation** *(Check as appropriate.)*

- | | | |
|-----------------------------------------------------------|-----------------------------------------|-----------------------------------------|
| <input type="checkbox"/> Manufacturing (For-Profit Only) | <input type="checkbox"/> Education | <input type="checkbox"/> Health Care |
| <input type="checkbox"/> Service (For-Profit Only) | <input type="checkbox"/> For-Profit | <input type="checkbox"/> For-Profit |
| <input type="checkbox"/> Small Business (For-Profit Only) | <input type="checkbox"/> Not-For-Profit | <input type="checkbox"/> Not-For-Profit |

Criteria being used: *(Check one.)*

- | | | |
|-----------------------------------|------------------------------------|--------------------------------------|
| <input type="checkbox"/> Business | <input type="checkbox"/> Education | <input type="checkbox"/> Health Care |
|-----------------------------------|------------------------------------|--------------------------------------|

(For-profit Education and Health Care organizations may also choose to use the Business Criteria and apply in the Service or Small Business categories.)

7. Industrial Classification

List up to three of the most descriptive three- or four-digit NAICS codes. *(See page 19 of this booklet or the PDF version of Baldrige Award Application Forms at www.quality.nist.gov/Award_Application.htm.)*

a. _____ b. _____ c. _____

8. Size and Location of Applicant

- a. Total number of
- employees (business) _____
 - faculty/staff (education) _____
 - staff (health care) _____
- b. For the preceding fiscal year,
- Check one financial descriptor: ☐ Sales ☐ Revenues ☐ Budgets
 - Check amount: ☐ 0-\$1M ☐ \$1M-\$10M ☐ \$10M-\$100M ☐ \$100M-\$500M ☐ \$500M-\$1B ☐ Over \$1B
- c. Number of sites: U.S./Territories _____ Overseas _____
- d. Percentage of employees: U.S./Territories _____ Overseas _____
- e. Percentage of physical assets: U.S./Territories _____ Overseas _____
- f. If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow full examination of its operational practices for all major functions of its worldwide operations?
☐ Yes ☐ No ☐ Not Applicable
- g. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at the Quest for Excellence Conference and at its U.S. facilities?
☐ Yes ☐ No
- h. Attach a line and box organization chart for the applicant organization, including the name of the head of each unit or division.

**If you are unable to answer any questions or answer any questions "No,"
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**9. Subunits** *(If the applicant is not a subunit as defined on pages 6-7, please proceed to question 10.)*a. Is the applicant _____ a larger parent or system? *(Check all that apply.)*☐ a subsidiary of☐ a unit of☐ a school of☐ a division of☐ a like organization of☐ owned by☐ controlled by☐ administered by

b. Parent Organization

Name _____

Highest-Ranking Official _____

Address _____

Name _____

Title _____

Number of worldwide employees of the parent _____

c. Is the applicant the only subunit of the parent organization intending to apply? *(Check one.)*☐ Yes☐ No *(Briefly explain.)*☐ Do Not Know

d. Name of the official document (e.g., dated Annual Report, press release) supporting the subunit designation.

e. Briefly describe the organizational structure and relationship to the parent.

Attach line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. Each box within the chart should include the name of the head of the unit or division.

f. Is the applicant's product or service unique within the parent organization? *(Check one.)*☐ Yes ☐ NoIf "No," do other units within the parent provide the same products or services to a different customer base? *(Check one.)*☐ Yes ☐ No

If "No," please provide a brief explanation of how the applicant is distinguishable from the parent and its other subunits (e.g., *market/location/name*).

**If you are unable to answer any questions or answer any questions "No,"
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award**9. Subunits—continued**

- g. **Business only.** Are 50 percent or more of the applicant's products or services sold or provided to customers outside the applicant's organization? ☐ Yes ☐ No
- h. **Business only.** Are less than 50 percent of the applicant's products or services sold or provided to the following? *(Please indicate "Yes" or "No" for each part of this question.)*
- the parent organization ☐ Yes ☐ No
 - other organizations controlled by the applicant or parent ☐ Yes ☐ No
- i. **Business only.** *(Check all that apply.)*
- Does the applicant have more than 500 employees? ☐ Yes ☐ No
 - Do the applicant's employees make up more than 25 percent of the worldwide employees of the parent? ☐ Yes ☐ No
 - Was the applicant independent prior to being acquired—and does it continue to operate independently under its own identity? ☐ Yes ☐ No
- j. **Business only.** Briefly describe the major support functions provided to the applicant by the parent or by other subunits of the parent. *(Examples might include human resources, legal, accounting, information technology, etc.)*

10. Supplemental Sections *(Check one.)*

- ☐ The applicant has: (a) a single performance system that supports all of its product and/or service lines; and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning.
- ☐ The applicant has: (a) multiple performance systems that support all of its product and/or service lines; and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning.

Note: The applicant's Eligibility Contact Point will be contacted if the second option is checked. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections in addition to the application report. The use of supplemental sections must be approved during the Eligibility Certification process and is mandatory once approved.

(Please describe briefly the differences among the multiple performance systems of your organizations in terms of customers, types of employees, technology, planning, and quality systems.)

**If you are unable to answer any questions or answer any questions "No,"
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

Malcolm Baldrige National Quality Award

11. Summary List of Questions

Have each of the questions that follow been answered "Yes" or have the applicable responses been checked? (Answering any of these questions "No" or leaving a response blank means that the applicant is not eligible for the 2002 Malcolm Baldrige National Quality Award.)

- Question 5: Has the applicant officially or legally existed for at least one year, or prior to April 16, 2001?
- Question 6: Have an Award Category and a For-Profit/Not-For-Profit Designation been checked?
- Question 9g: **Business only.** Are 50 percent or more of the applicant's products or services sold or provided to customers outside the applicant's organization?
- Question 9h: **Business only.** Are less than 50 percent of the applicant's products or services sold or provided to its parent and other organizations controlled by the applicant or parent? Question 9g and both parts of question 9h should be answered "Yes."

At least one of the responses to the three questions included in Question 9i must be answered "Yes."

- Question 9i: **Business only.**
 - Does the applicant have more than 500 employees?
 - Do the applicant's employees make up more than 25 percent of the worldwide employees of the parent?
 - Was the applicant independent prior to being acquired—and does the applicant continue to operate independently under its own identity?

12. Self-Certification Statement, Signature of the Highest-Ranking Official

I certify that the answers provided are accurate and that my organization is eligible based on the current requirements for the 2002 Malcolm Baldrige National Quality Award. I understand that at any time during the Award Process cycle, if the information provided was inaccurate, my organization will no longer be eligible for the award and will only be eligible to receive a feedback report.

Date

X

Signature

Printed Name

The Malcolm Baldrige National Quality Program is launching a pilot program in 2002 that enables one member of each eligibility applicant's organization to become a member of the 2002 Board of Examiners. To take advantage of this opportunity, self-certified eligibility applications must be postmarked on or before March 15, 2002.

☐ We are sending _____ to serve on the 2002 Board of Examiners.

If you are unable to answer any questions or answer any questions "No," please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.

2002 Additional Information Needed Form—Instructions

1. Site Listing and Descriptors

Provide the complete address of each site. In cases where many sites perform the same function, aggregate the sites under one listing and make a summary statement about the locations instead of listing an address for each one. If a site visit is to be conducted, a more detailed listing will be requested when the visit is planned. If the applicant has foreign sites, these sites must be included. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page. The application report must address activities in foreign sites in the appropriate Items. No site visits will be conducted at facilities outside the United States or its territories.

Provide the **number** of employees at each site.

Check the appropriate financial descriptor (sales, revenues, or budgets). Provide the approximate **percentage** of sales, revenues, or budgets accounted for by the output of each site. Use “Not Applicable” (N/A) for percentage of sales, when appropriate.

2. Key Business/Organization Factors

Provide the following information:

For the purposes of the 2002 Award Application, “key” means those organizations that constitute five percent or greater of the competitors, customers/users, or suppliers. These responses (including the name of the organization’s financial auditor) are used to create an objective team of Examiners, avoiding all real or perceived conflicts of interest.

- A. List of key competitors
- B. List of key customers/users
- C. List of key suppliers
- D. Description of major markets (local, regional, national, and international)
- E. The name of the organization’s financial auditor

Eligibility Certification Package Preparation Instructions

The 2002 Eligibility Certification Form may be duplicated. In addition, page 1 of the 2002 Additional Information Needed Form (Item 1, Site Listing and Descriptors) should be duplicated if all sites cannot be listed on a single page. All other responses should be included in the space provided on the forms.

Use the checklist on page 18 to ensure that all components of the Eligibility Certification Package have been addressed. Send a letter of transmittal on the applicant’s stationery along with the completed form, associated materials, and fee to:

Malcolm Baldrige National Quality Award
c/o ASQ—Baldrige Award Administration
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, Extension 7205

Applicants are encouraged to submit completed Eligibility Certification Packages as soon as possible. Packages must be postmarked no later than April 16, 2002. All items should be answered. All information is considered confidential.

Malcolm Baldrige National Quality Award

The following information is needed by the Malcolm Baldrige National Quality Award Program Office to provide the most effective evaluation possible by the Board of Examiners.

I. Site Listing and Descriptors

Please refer to the instructions on page 15 of this booklet or the PDF version of *Baldrige Award Application Forms* at www.quality.nist.gov/Award_Application.htm to complete this Site Listing and Descriptors form. It is important that the totals for the number of employees, faculty, and staff; percentage of sales, revenues, and budgets; and sites on this form match the totals provided in response to questions 8.a., 8.b., and 8.c. on page 2 of the 2002 Eligibility Certification Form. For example, if you report 600 employees in response to question 8.a., the total number of employees provided in the Site Listing and Descriptors form should be 600.

Address of Site(s)	Number Employees, Faculty, and/or Staff	Percentage <input type="checkbox"/> Sales <input type="checkbox"/> Revenues <input type="checkbox"/> Budgets	Description of Products, Services, and/or Technologies for each site

Provide all the information for each site, except where multiple sites produce similar products or services. For multiple site cases, refer to "c" under item 8, which is titled Size and Location of Applicant. See page 8, 2002 Eligibility Form—Instructions, of this booklet or the PDF version of *Baldrige Award Application Forms* at www.quality.nist.gov/Award_Application.htm.

Use as many additional copies of this form as needed to include all sites.

If you are unable to answer any questions or answer any questions "No,"
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.

Malcolm Baldrige National Quality Award

2. Key Business/Organization Factors—List, briefly describe, or identify the following key organization factors:

A. List of key competitors

B. List of key customers/users

C. List of key suppliers

D. Description of the major markets (local, regional, national, and international)

E. The name of the organization's financial auditor

If you are unable to answer any questions or answer any questions "No,"
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.

2002 Eligibility Certification Package Checklist

Malcolm Baldrige National Quality Award

1. Eligibility Certification Form

- a. Have all questions been answered completely?
☐ Yes ☐ No
- b. Is a line and box organization chart included that shows all components of the applicant organization and the name of the head of each unit or division?
☐ Yes ☐ No
- c. If the applicant is a subunit of a larger organization, are line and box organization charts included that show the relationship of the applicant to the highest management level of the parent, including all intervening levels?
☐ Yes ☐ No
- d. Is the Eligibility Certification Form signed by the Highest-Ranking Official?
☐ Yes ☐ No

2. Letter of Transmittal

Is the Eligibility Certification Package accompanied by a letter on the applicant's stationery and signed by the Highest-Ranking Official?

☐ Yes ☐ No

3. Fee

Is a check or money order included for the \$150 nonrefundable eligibility certification fee made payable to **The Malcolm Baldrige National Quality Award**?

☐ Yes ☐ No

4. Date of Submission

Is the Eligibility Certification Package being submitted on or before March 15, 2002?

☐ Yes ☐ No

If "Yes" has been checked, will your organization be sending a representative to the 2002 Board of Examiners' training class scheduled for May 8–10, 2002?

☐ Yes ☐ No

The 2002 Eligibility Certification Package must be postmarked on or before April 16, 2002, to be considered for the 2002 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the form well ahead of the deadline to avoid delays.

North American Industry Classification System (NAICS) Codes

Please insert NAICS codes most relevant to your organization's products and/or services on the first page of the Eligibility Certification Form. If you wish to access the NAICS codes on-line, connect to www.census.gov, select "subjects A to Z," select "N," select "NAICS (North American Industry Classification System)."

Code	Sector	Code	Sector	Code	Sector
111	Crop Production	445	Food and Beverage Stores	611	Educational Services
112	Animal Production	446	Health and Personal Care Stores	6111	Elementary and Secondary Schools
113	Forestry and Logging	447	Gasoline Stations	6112	Junior Colleges
115	Support Activities for Agriculture and Forestry	448	Clothing and Clothing Accessories Stores	6113	Colleges, Universities, and Professional Schools
211	Oil and Gas Extraction	451	Sporting Goods, Hobby, Book and Music Stores	6114	Business Schools and Computer and Management Training
212	Mining (except Oil and Gas)	452	General Merchandise Stores	6115	Technical and Trade Schools
213	Support Activities for Mining	453	Miscellaneous Store Retailers	6116	Other Schools and Instruction
221	Utilities	454	Nonstore Retailers	6117	Educational Support Services
233	Building, Developing and General Contracting	481	Air Transportation	621	Ambulatory Health Care Services
234	Heavy Construction	482	Rail Transportation	6211	Offices of Physicians
235	Special Trade Contractors	483	Water Transportation	6212	Offices of Dentists
311	Food Manufacturing	484	Truck Transportation	6213	Offices of Other Health Practitioners
312	Beverage and Tobacco Product Manufacturing	485	Transit and Ground Passenger Transportation	6214	Outpatient Care Centers
313	Textile Mills	486	Pipeline Transportation	6215	Medical and Diagnostic Laboratories
315	Apparel Manufacturing	487	Scenic and Sightseeing Transportation	6216	Home Health Care Services
316	Leather and Allied Product Manufacturing	488	Support Activities for Transportation	6219	Other Ambulatory Health Care Services
321	Wood Product Manufacturing	491	Postal Service	622	Hospitals
322	Paper Manufacturing	492	Couriers and Messengers	623	Nursing and Residential Care Facilities
323	Printing and Related Support Activities	493	Warehousing and Storage Facilities	711	Performing Arts, Spectator Sports and Related Industries
324	Petroleum and Coal Products Manufacturing	511	Publishing Industries	712	Museums, Historical Sites and Similar Institutions
325	Chemical Manufacturing	512	Motion Picture and Sound Recording Industries	713	Amusement, Gambling and Recreation Institutions
326	Plastics and Rubber Products Manufacturing	513	Broadcasting and Telecommunications	721	Accommodations (hotels)
327	Nonmetallic Mineral Product Manufacturing	514	Information Services and Data Processing Services	722	Food Services and Drinking Places
331	Primary Metal Manufacturing	521	Monetary Authorities-Central Bank	811	Repair and Maintenance
332	Fabricated Metal Product Manufacturing	522	Credit Intermediation and Related Activities	812	Personal and Laundry Services
333	Machinery Manufacturing	523	Securities, Commodity Contracts and Other Intermediation	813	Religious, Grant Making, Civic, and Professional and Similar Organizations
334	Computer and Electronic Product Manufacturing	524	Insurance Carriers and Related Activities	814	Private Households
335	Electrical Equipment, Appliance and Component Manufacturing	525	Funds, Trusts and Other Financial Vehicles (U.S. Organizations)	921	Executive, Legislative, Public Finance and General
336	Transportation Equipment Manufacturing	531	Real Estate	922	Justice, Public Order, Safety
337	Furniture and Related Product Manufacturing	532	Rental and Leasing Services	923	Administration of Human Resource Programs
339	Miscellaneous Manufacturing	533	Owners and Lessors of Other Non-Financial Assets	924	Administration of Environmental Quality Programs
421	Wholesale Trade, Durable Goods	541	Professional, Scientific and Technical Services	925	Administration of Housing Programs, Urban Planning
422	Wholesale Trade, Nondurable Goods	551	Management of Companies and Enterprises	926	Administration of Economic Programs
425	Wholesale Electronic Markets and Agents and Brokers	561	Administrative and Support Services	927	Space Research and Technology
441	Motor Vehicle and Parts Dealers	562	Waste Management and Remediation Services	928	National Security and International Affairs
442	Furniture and Home Furnishings Stores			999	Unclassified Establishments
443	Electronics and Appliance Stores				
444	Building Material and Garden Equipment and Supplies Stores				

2002 Award Application Package Instructions

Instructions for responding to the Criteria and writing the Organizational Profile are included in each of the three Criteria Booklets. Use the Criteria appropriate to your eligibility category (Business, Education, or Health Care).

I. Purpose

The purpose of this section is to provide eligible applicants with instructions for preparing the Award Application Package. These instructions describe content, format, assembly, and submission requirements.

II. Objective

The objective of the Award Application Package is to allow the applicant to provide sufficient information to permit a rigorous evaluation by the Board of Examiners. Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered confidential.

III. Content Requirements

A. Application Report—All Applicants

Only an application report is required if an applicant has a single performance system that supports all of its product and/or service lines, and the products or services are essentially similar in terms of customers, technology, types of employees, planning, and quality systems. **(This is the case with most applicants.)** All units/subunits of the applicant must be included in the application report and any supplemental section(s).

An application report must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures) to help ensure confidentiality
- title page
- labeled tabs or dividers
- Table of Contents
- 2002 Eligibility Certification Form
- organization chart(s)
- 2002 Application Form
- Organizational Profile (five pages or less)
- Glossary of Terms and Abbreviations
- Responses Addressing All Criteria Items (50 pages or less)
- Summary of Supplemental Sections, if applicable (two pages or less—see information below under “B. Supplemental Sections”)
- back cover—blank

B. Supplemental Sections

In order to maintain an equivalent level of detail for all sizes and types of applicants, certain applicants may need to provide supplemental sections. Supplemental sections are intended to permit applicants with highly complex organizations and performance systems to describe them in sufficient detail to permit a rigorous examination. Supplemental sections may be required if the applicant has two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, technology, types of employees, planning, and quality systems that are so different that the application report alone will not allow sufficient detail for a fair examination.

The use of supplemental sections must be approved during the eligibility certification process. Once supplemental sections are approved, they **must** be submitted by the applicant. If both an application report and supplemental section(s) are submitted, the application report should cover the largest aggregation of similar product and/or service lines that are supported by a single performance system.

Together, the application report and the supplemental section(s) must cover all products and/or services and all performance systems of the applicant.

Each supplemental section must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures)
- title page
- labeled tabs or dividers
- Table of Contents
- organization chart(s)
- Summary of Supplemental Sections (two pages or less)
- Organizational Profile (five pages or less)
- Glossary of Terms and Abbreviations
- Responses Addressing All Criteria Items (35 pages or less)
- back cover—blank

IV. Format Requirements

Application reports and any supplemental sections, must meet the page limits, typing, and format requirements indicated below.

A. Page Limits and Exclusions

1. The Organizational Profile for the application report and each supplemental section is limited to the equivalent of five single-sided pages. If the

Organizational Profile exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the Organizational Profile can be found in each of the Criteria booklets.

2. In the application report, the Responses Addressing All Criteria Items are limited to the equivalent of 50 single-sided pages, which must include all pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 2002 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a.
3. In supplemental sections, the Responses Addressing All Criteria Items are limited to 35 single-sided pages.
4. The covers, dividers, tab separators, Table of Contents, Organization Chart(s), Eligibility Certification Form, Application Form, and Glossary of Terms and Abbreviations that contain only the specified subject material will not be counted as part of the page limit in either the application report or supplemental section(s). However, if these pages contain any additional material, such as text, quotations, graphs, figures, data tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items. Each page will be counted as part of the total page count for that portion of the Application Package.
5. If the Responses Addressing All Criteria Items exceed the 50-page limit, the applicant's Official Contact Point will be asked to identify which pages will be removed.
6. The Summary of Supplemental Sections, if applicable, is limited to the equivalent of two single-sided pages. If the summary exceeds the two-page limit, the excess will be counted as part of the page count for the Responses Addressing All Criteria Items.

B. Paper size: standard 8 1/2 by 11 inches

C. Typing

1. Font Size
 - fixed pitch font of 12 or fewer characters per inch
OR
 - proportional spacing font of point size 10 or larger

A typical document produced in Times Roman 10 point font will satisfy this requirement.
2. Line Spacing: Equivalent of two points of lead between lines. Note: *One point of lead equals 1/72, or 0.0138 inch.*

3. Font Style: Any font style may be used that meets the font size and line spacing requirements, but Helvetica and Times Roman or equivalent styles are preferred.

4. Type used in picture captions, graphs, figures, data tables, and appendices also must meet the requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the font size requirements.

Font style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

D. Format

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. Margins of at least 3/4 inch on the side of the page that is bound or fastened and at least 1/2 inch on the opposite side of the page are preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides. (There is a total limit of the equivalent of 50 single-sided pages for the application and five single-sided pages for the Organizational Profile.)
4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

E. Numbering

The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish; e.g., 1, ..., 50. Blank pages should not be numbered. All figures should be numbered in sequence within each Item and Category, such as Figure OP-1 or Figure 2.1-1.

V. Assembly Requirements

- A. All components of the application report and supplemental section(s) **must be securely fastened to prevent separation during handling**. The use of clips or binders with easily opened pressure-sensitive clips is discouraged. Supplemental section(s) must be bound separately from the application report.
- B. The use of bulky binders or similar heavy covers is discouraged.
- C. Video and audio tapes or other information aids are not acceptable and may not be included.

VI. Submission Requirements

- A. Applicants must submit a 2002 Award Application Package containing
- twenty-five individually bound copies of the complete application report and, if appropriate, twenty-five individually bound copies of every supplemental section; and
 - a check or money order covering the application fees for the application report and, if appropriate, every supplemental section. Fees are discussed in the Application Form Instructions on page 23 of this booklet. The check or money order should be made payable to **The Malcolm Baldrige National Quality Award**.
- B. The 2002 Award Application Package must be postmarked or consigned to an overnight delivery service no later than May 30, 2002, to be eligible for a 2002 Award. If a question arises about the deadline having been met, the applicant will be asked to supply a dated receipt from the postal or overnight carrier.

The Baldrige National Quality Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled “Content Requirements” and “Format Requirements” along with the application fee.

Send the complete 2002 Award Application Package to:

Malcolm Baldrige National Quality Award
c/o ASQ—Baldrige Award Administration
600 North Plankinton Avenue
Milwaukee, WI 53203
(414) 298-8789, Extension 7205

VII. Description of Application Report Parts

Each copy of the application report must contain the following in the order listed.

- A. **front cover**—blank (no text, pictures, or figures).
- B. **title page** with the name of the applicant.
Applicants also have the option to include their address, pictures, and logo; the date; a statement indicating that this is an application for the 2002 Malcolm Baldrige National Quality Award; and/or a statement regarding confidentiality of content. No further information or text about the applicant may be included on this page.
- C. **labeled tabs or dividers** separating the sections of the report and containing only the title of the section. No further information or text about the applicant may be included on the tabs or dividers or they will count toward the 50-page limit.
- D. **Table of Contents** indicating the page number of the following: the 2002 Eligibility Certification Form, the Additional Information Needed Form, the organ-

ization chart(s), the 2002 Application Form, the Organizational Profile, the Glossary of Terms and Abbreviations, and each Category and Item. Pagination for Areas to Address, tables, and figures does not need to be included in the Table of Contents.

- E. **2002 Eligibility Certification Form**, including all Site Listing and Descriptors pages and, if the applicant is a subunit, line and box organization chart(s) of the parent/holding company showing where the applicant fits into the overall organization.
- F. **line and box organization chart(s) of the applicant organization** with sufficient detail for Examiners to understand the relationships between the applicant’s subunits.
- G. **2002 Application Form** signed by the applicant, indicating that the applicant agrees to the terms and conditions of the Award process and, if chosen, agrees to host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other U.S. organizations. (See page 24.)
- H. **Organizational Profile** outlining the applicant’s organization, addressing what is most important to the organization as well as the key factors that influence how the organization operates and where it is headed. A vital part of the overall application, the Organizational Profile is used by the Examiners in all stages of the application review.
- I. **Glossary of Terms and Abbreviations** used in the application report and each supplemental section.
- J. **Responses Addressing All Criteria Items**
- Respond to each Item as a whole. Responses to the Areas to Address should emphasize the applicant’s organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. Describe activities in foreign sites in the appropriate Items.
 - If an Area to Address does not pertain to the applicant’s organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.
- K. If applicable, provide a **Summary of Supplemental Sections**—a brief description of each supplemental section, including the products, services, and NAICS codes. (See page 21, no. 5.)
- L. **back cover**—blank.

2002 Application Form—Instructions

Instructions

Provide all information requested. A copy of the 2002 Application Form must be included in each of the 25 copies of the application report, as described on page 22.

1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

2. Award Category

From the 2002 Eligibility Certification Form, indicate the eligibility category under which the applicant was certified and which Criteria are being used.

3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for arrangements for a site visit. Further communications between the applicant and the Baldrige National Quality Program will be limited to this Official Contact Point. The designated Official Contact Point should have both in-depth knowledge of the organization and a good understanding of the organization's application. Designate a person with authority who will be available to provide additional information, answer inquiries, or arrange a site visit.

If the Official Contact Point changes during the course of the application process, please inform the Baldrige National Quality Program.

4. Alternate Official Contact Point

In the event that the Official Contact Point is not available, the Alternate Official Contact Point will be contacted to answer questions or to convey a message to the Official Contact Point. Please designate a person who is available during regular business hours.

5. Application Fees

Fee payment must be submitted with the application. The fees for the application report are: \$5000 for manufacturing, service, for-profit education institutions, and for-profit and not-for-profit health care organizations with more than 500 employees; \$2000 for small businesses, for-profit education institutions, and for-profit and not-for-profit health care organizations with fewer than 500 employees; and \$500 for not-for-profit education institutions.

The fees for the supplemental section are: \$2,000 for manufacturing, service, for-profit education institutions, and for-profit and not-for-profit health care organizations with more than 500 employees; \$1000 for small businesses, for-profit education institutions, and for-profit and not-for-profit health care organizations with fewer than 500 employees; and \$250 for not-for-profit education institutions.

6. Release Statement

Please read this section carefully. A signed application indicates that the applicant agrees to the terms and conditions stated therein.

7. Signature, Highest-Ranking Official

The applicant's Highest-Ranking Official must sign in the space provided, indicating that the applicant will comply with the terms and conditions stated in the document. Type the person's name, title, address, and telephone number below the signature, as indicated.

2002 Application Form

Malcolm Baldrige National Quality Award

1 Applicant

Name _____

Mailing Address _____

2 Award Category (Check one.)

___ Manufacturing ___ Service ___ Small Business
___ Education ___ Health Care

For small businesses, indicate whether the larger percentage of sales is in service or manufacturing.
(Check one.)

___ Service ___ Manufacturing

Criteria being used (Check one.)

___ Business ___ Education ___ Health Care

3 Official Contact Point

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Title _____

Applicant Name _____

Mailing Address _____

Overnight

Mailing Address (Do not use P.O. Box number.) _____

Telephone No. _____

Fax No. _____

4 Alternate Official Contact Point

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Telephone No. _____

Fax No. _____

5 Application Fees (See page 23 for instructions.)

Enclosed is \$_____ to cover one application report and _____ supplemental sections.

Make check or money order payable to:

The Malcolm Baldrige National Quality Award

6 Release Statement

We understand that this application will be reviewed by members of the Board of Examiners.

Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that our organization must pay reasonable costs associated with a site visit. The range of site visit fees is \$20,000 – \$35,000.

If our organization is selected to receive an Award, we agree to share nonproprietary information on our successful performance excellence strategies with other U.S. organizations.

7 Signature of the Highest-Ranking Official

Date _____

X

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name _____

Title _____

Applicant Name _____

Mailing Address _____

Telephone No. _____

Fax No. _____

OMB Clearance #0693-0006
Expiration Date: October 31, 2002

This form may be copied and attached to, or bound with, other application materials.

How to Order Copies of Baldrige Program Materials

Single Orders

Single copies of the Criteria booklets and the *Baldrige Award Application Forms* booklet can be obtained free of charge from the

Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov

Bulk Orders

Multiple copies of the *2002 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$29.95 plus shipping and handling from the American Society for Quality (ASQ).

2002 Business Criteria—Item Number T1108
2002 Education Criteria—Item Number T1109
2002 Health Care Criteria—Item Number T1110

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Or fax your completed order form to ASQ at (414) 272-1734.
- Or mail your order to ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.
- Or order online from ASQ's Web site at www.asq.org.

Payment

Your payment options include: check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders:

Order Amount	U.S. Charges	Canadian Charges
0 – \$34.99	\$ 4.25	\$ 9.25
\$35.00 – \$99.99	6.50	11.50
Over \$100.00	12.50*	17.50*

- There is an additional charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

* If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice the customer for the additional expense.

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are a sample of the educational materials that may be ordered from ASQ.

Case Studies

The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet contains the case study and six additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, the *Handbook for the Board of Examiners*, and the *Scorebook for Business, Education, and Health Care*. These documents provide information related to scoring, Criteria responses, examination processes, and site visit procedures, as well as illustrate the format for an application. A variety of case study packets are available.

How to Order Copies of Baldrige Program Materials

2001 Business Case Study Packet: TriView National Bank (based on the *2001 Criteria for Performance Excellence*)
Item Number T1091: \$49.95 plus shipping and handling

2000 Education Case Study Packet: Coyote Community College (based on the *2000 Education Criteria for Performance Excellence*)
Item Number T1090: \$49.95 plus shipping and handling

1999 Business Case Study Packet: Collin Technologies (based on the *1999 Criteria for Performance Excellence*)
Item Number T1079: \$49.95 plus shipping and handling

1998 Business Case Study Packet: Gemini Home Health Services (based on the *1998 Criteria for Performance Excellence*)
Item Number T1083: \$49.95 plus shipping and handling

Award Recipients' Videos

The Award recipients' videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2001 Award recipients' video is provided below. Videos about Award recipients from other years also are available from ASQ.

2001—Item Number TA998	\$20.00
(Available May 2002)	

How to Order

To order a case study packet (TriView National Bank, Coyote Community College, Collin Technologies, Gemini Home Health Services, or others), bulk orders of the 2002 Criteria booklet, or the Award recipients' videos, contact

ASQ Customer Service Department
P.O. Box 3066
Milwaukee, WI 53201-3066

Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web address: www.asq.org

Quest For Excellence XIV Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XIV will showcase the 2001 Award recipients.

For the last 13 years, executives, managers, and quality leaders have come to this conference to learn how these role model organizations have achieved performance excellence. Highest-Ranking Officials and other leaders from the Award recipients who are transforming their organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to

performance excellence, and their lessons learned. Conference attendees will have the opportunity to ask questions of the Award recipients. This three-day conference is designed to maximize learning and networking opportunities.

The Quest for Excellence XIV Conference will be held April 7-10, 2002, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact the National Institute of Standards and Technology (NIST), Baldrige National Quality Program, Administration Building, Room A600, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov.

Paperwork Reduction Act Statement

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The reason for collecting this information is to allow organizations to apply for the Malcolm Baldrige National Quality Award (Award). The information obtained will assist in determining the Award recipients. Responses to the collection of information are required to be considered for the Award. Confidentiality of the submitted information is covered under the Freedom of Information Act to the extent possible under the law.

The public reporting burden for this collection is estimated to average 100 hours for the initial response of the first-time applicant (this includes the time for reviewing

instructions, searching existing data sources, gathering and maintaining the relevant data, and completing and reviewing the collection of information). As the organization reapplies for the Award in future years, it is possible that this burden will change, in either direction, based on the feedback the respondent gains from its first application.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Dr. Harry Hertz, Director, Baldrige National Quality Program, NIST, Administration Building, Room A600, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

We are easy to reach. Our Web address is www.quality.nist.gov

Baldrige National Quality Program

Baldrige National Quality Program
National Institute of Standards and Technology
Technology Administration
United States Department of Commerce
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology is a nonregulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to develop and promote measurement standards and technology to enhance productivity, facilitate trade, and improve the quality of life. The Baldrige National Quality Program (BNQP) at NIST is a customer-focused federal change agent that enhances the competitiveness, quality, and productivity of U.S. organizations for the benefit of all citizens. BNQP develops and disseminates evaluation criteria and manages the Malcolm Baldrige National Quality Award. It also provides global leadership in promoting performance excellence and in the learning and sharing of successful performance practices, principles, and strategies.

Call BNQP for

- information on improving the performance of your organization
- information on applying for the Baldrige Award
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—Business, Education, and Health Care (no cost)
- information on BNQP educational materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov

Web address: www.quality.nist.gov

American Society for Quality
600 North Plankinton Avenue
Milwaukee, WI 53203

The American Society for Quality (ASQ) advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order

- bulk copies of the Criteria
- case studies
- Award recipients' videos

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: asq@asq.org

Web address: www.asq.org

excellence